DOCUMENT RESUME

ED 214 529 IR 010 115

TITLE Meeting Information Needs of the 80's. Report of the Commissioner's Committee on Statewide Library Development.
INSTITUTION New York State Library, Albany.
PUB DATE 30 Sep 81
NOTE 34p.

EDRS PRICE MF01/PC02 Plus Postage.
DESCRIPTORS College Libraries; Elementary Secondary Education; Futures (of Society); Higher Education; Information Needs; Interlibrary Loans; *Libraries; Library Automation; *Library Cooperation; *Library Networks; Library Services; Postsecondary Education; School Libraries; *State Aid
IDENTIFIERS Library Development; *New York; New York State Library

ABSTRACT

Recommendations designed to facilitate library development in the state of New York are presented in categories reflecting the five goals agreed upon by committee members: (1) the assurance of maximum access to all forms of information for all residents of the state; (2) the sharing of resources as broadly and as effectively as possible; (3) increased state and local financial support; (4) the adoption of new technologies and organizational changes to improve access to information and meet user needs and priorities; and (5) the coordination of development and services with the aid of the state library and the advice of concerned users. An overview of the libraries and library systems of New York State provides brief discussions of the various types of libraries and their functions; the characteristics and problems of public library systems, reference and research library resource systems, and school library systems, as well as interlibrary loan and regional networks; funding through state aid for the library systems, local library operations, and school and academic libraries; and the functions and problems of the New York State Library. (RBF)

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Meeting Information Needs Of The 80's

Report of The Commissioner's Committee On Statewide Library Development

The University of the State of New York
THE STATE EDUCATION DEPARTMENT
The New York State Library
Cultural Education Center
Albany, New York 12230

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COMMISSIONER'S COMMITTEE
ON STATEWIDE LIBRARY DEVELOPMENT

September 30, 1981

Honorable Gordon M. Ambach
Commissioner of Education
The University of the State of New York
The State Education Department
Albany, New York

Dear Commissioner Ambach:

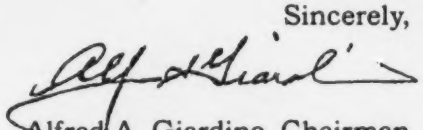
In January 1980, you designated a Committee on Statewide Library Development to prepare recommendations for State policy on services, financial support, use of technology, and governance in the light of library needs and resources during the next decade.

The review requested has proven to be especially timely. Demands for more services are being heard at the very time that libraries are confronted with challenges of an "information society," a changing population, increased concern for the unserved, and far-reaching technological advances, as well as rising costs and limited revenues.

As Chairman of the outstanding Committee you appointed, it is my privilege to submit on their behalf our unanimous findings and recommendations. These are presented with our deep gratitude for the support we received from officers and staff of the State Education Department and State Library.

The Committee submits its report with the conviction that the measures it proposes provide the means by which the libraries of New York State can best survive and serve. We hope they will provide approaches to revitalize our libraries—a basic social, economic, and educational resource of our society.

Sincerely,



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COMMITTEE PROCESS

1980	
January 30	Meeting with Commissioner Ambach; organization of interim task forces on mission/facilities, technologies, funding, governance, and state role to identify concerns and information needs.
February	Requests to various library and government leaders for suggestions and recommendations of issues to be examined; task forces meet.
March-June	Opinions on issues solicited from library and government leaders; discussions of role and mission of libraries, New York State demographic changes and economic status and outlook; library and information service needs; funding and governance issues and options; impact of technology upon library and community activities; and state role in library development.
September	Research data presented and reviewed.
October-December	"Hearing session" at New York Library Association Conference with statements presented by librarians and library trustees; opinions gathered at nine Regents/Commissioner's conferences on library services; discussions of issues and available options.
1981	
January-May	Discussions of possible recommendations and preparation of draft report based on tentative conclusions.
June	1,200 copies of preliminary draft report distributed for comments; draft report discussed with library system directors.
July	Draft report discussed with representatives of statewide organizations and the academic libraries; preliminary draft reexamined in light of written comments from library leaders.
August	Comments from library leaders, government officials, and others reviewed and preliminary draft report revised.

PREFACE

Today, an eighth grader in Manhattan, Brooklyn, or Buffalo who sets out for the local branch library to learn more about bees or boats or Botticelli is as likely as not to find the branch closed. An owner of a small manufacturing plant in the Finger Lakes district, Onondaga County, or Franklin County who desperately needs data from a specialized journal may only be able to get this information through his local library when it is too late to use.

Faced with limited funds and rapidly escalating costs, many libraries and library systems in New York State have reduced services and access at a time when libraries of all types have become increasingly important as sources of information, education, and entertainment. Millions of New Yorkers depend upon library collections of books, magazines, films, records, and cassettes. They pursue independent studies in libraries and seek information about employment, cultural opportunities, and social services there.

The recent history of the State's libraries is one of mounting barriers to information and a diminishing capacity to respond. Our libraries have been unable to respond adequately to changing information needs, a changing population, the special needs of minorities, or the problems of the hard-to-serve or hard-to-reach: disabled, illiterate, or non-English speaking residents. Nor have the State's libraries been able to benefit fully from a developing library technology with more efficient methods of communication and delivery. Because of financial constraints, they have failed to cope with the consequences of the "information explosion."

With the cost of library materials running well ahead of the nation's inflation rate, industry competing for experienced library professionals, and expensive, new data processing equipment becoming essential to their operations, the great majority of our libraries and systems have had to cut back severely to live within their limited budgets. Yet, in spite of reduced staffs and shorter hours, many libraries and library systems have used considerable imagination and initiative to meet user needs. Public libraries now lend more than 80 million books and other items each year, and a number of systems have been able to add such new services as data base searches, electronic scanners for the blind, and community information and referral programs.

New York libraries have also been able to enhance the productivity of industries within the State by providing information essential to operations, decision making, and research and development. The ability of industry to tap the growing reservoir of information—social, scientific, technical, and economic—is essential for our State's overall economic health. Not only do New York industries depend upon their own special libraries for their information needs, but they also count heavily on the strengths of the publicly supported libraries and library systems in the State.

It is clear that additional financial support is necessary. In view of limitations imposed by New York's mature economy and declining population, as well as the growing competition for tax dollars, any additional funds must be invested in the most effective means to improve services and access. Much can be done by reorganizing and strengthening library systems, limiting duplication of services and materials, and sharing resources more effectively and broadly through use of new information technology and greater involvement of all types of libraries.

New York State cannot allow its libraries and systems to deteriorate further. New York State established a library "for the government and for the people" in 1818 and has seen it grow into a model for other state libraries. The State's 7,700 libraries now constitute one of the world's great reservoirs of information and research materials. They not only have proven indispensable to the cultural and personal well-being of the State, but they contribute significantly to its economic vitality by providing their resources to industries the State must retain, particularly to the communications industries, which are so heavily concentrated in New York. Our libraries offer, as well, a historic avenue for individual advancement, a means to accelerate social and economic mobility for the State's poor and disadvantaged. They enable many New Yorkers to become more self-sufficient and productive.

After studying the present problems and future challenges of New York State's libraries and library systems, the Committee has agreed upon the following goals for development.

Libraries and Library Systems of New York Must:

Assure maximum access to all forms of information for all residents of the State;

Share resources as broadly and effectively as possible;

Achieve increased State and local financial support;

Adopt new technology and make organizational changes to improve access to information and meet today's user needs and priorities;

Coordinate development and services with the aid of the State library and the advice of concerned users.

The Committee offers the following recommendations for initiatives that should enable the library systems of New York State to achieve these goals.

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RECOMMENDATIONS OF THE COMMITTEE

A. STATE POLICY ON LIBRARIES

The State should adopt a policy on libraries that affirms: "Every resident of New York State should enjoy timely and free access, through local libraries working within library systems, to a full range of informational resources and services, provided without restriction of censorship or violation of privacy."

A great strength of the public library tradition has been the concept of the library as a part of a comprehensive system of public education. The State's commitment to this tradition must be reaffirmed, and support for full and unrestricted access to information must be strengthened. Access to information of all kinds must be assured if our society is to avoid division into the *"information rich"* and the *"information poor."* Demands for new community services must also be recognized, and libraries must provide such new resources as education information centers and the information and referral services that link citizens with human services agencies.

To provide access and increased services and to meet the information, cultural, and recreational needs of all the people of the State, a comprehensive program involving all types of libraries is required. *"Free access"* means access without regard to the age, sex, cultural or ethnic background, or other personal characteristics of the user. It means, as well, accommodating the disabled and others through outreach programs and adaptation of services. In publicly financed and publicly operated libraries, access to informational resources should be provided free of cost to the user, except for modest and equitable fees charged for special services.

Access must not be restricted by censorship. Individuals or groups must not be allowed to deny to others materials that they deem offensive or inappropriate. The American Library Association's Library Bill of Rights and School Library Bill of Rights and the Right to View Statement of the Educational Film Library Association provide sound principles to guide library administrators, staff, and policymakers in guaranteeing to all persons the right to read and view. To assure full freedom of access, patron records and use of library resources must be regarded as confidential.

A-1. The Regents should establish a permanent Regents Council on Library Policy to ensure that State library policy reflects the concerns and priorities of library users.

A Regents Council on Library Policy should assist the Regents in developing policy for the State Library, libraries of all types throughout the State, and library service development. Designed to replace the present Regents Advisory Council on Libraries, which was established in 1894 as a body of experts, the new Council will considerably broaden participation in the formulation of policies by reflecting the views of a variety of library users and groups concerned about library development.

An 11 member council should be appointed by the Board of Regents, including no fewer than two Regent members and a majority representing the public and various types of libraries and library boards. The State Librarian and Assistant Commissioner for Libraries should serve as the executive officer of the Council. The Council should help develop policy for:

- *Multi-type library system development;*
- *Statewide interlibrary loan;*
- *Access to library resources and services throughout the State;*
- *State aid for libraries and other legislation affecting libraries;*
- *State Library services;*
- *Library automation;*
- *Franchising bibliographic utilities;*
- *Development of statewide locator files and bibliographic data bases;*
- *Coordinated collection development programs and other cross-regional cooperative projects;*
- *Statistical surveys and technological research for policy development and evaluation;*
- *Coordination of library information services with community information programs of other agencies.*

B. RESOURCE SHARING

The State should make every effort to encourage and develop the sharing of resources by all libraries (public, academic, school, special, and institution) within the State through local, regional, and State partnerships.

Recognizing that the information needs of the people of New York would be well served by a comprehensive resource-sharing program involving all types of libraries, the Committee has agreed that:

- *Each library in the State should have access to other collections in the State;*
- *Interlibrary loan and other types of resource sharing are integral parts of library systems and networks;*
- *Regional resource sharing provides a sound basis for interlibrary loan activity;*
- *Clear standards for interlibrary loan network performance are needed;*
- *Communications technology and computer-based data storage techniques should be used for efficient resource sharing;*

- *Data base development should be monitored for adherence to technical standards;*
- *Access to the several national data bases and to the diversity of services they offer are in the interest of New York State;*
- *A State-supported network should make optimum use of prior public investment in resources and should provide incentives for using non-reimbursed resources and services before turning to reimbursed resources;*
- *State reimbursement for interlibrary loans is an appropriate mechanism for assuring access to statewide collections;*
- *Successful resource sharing depends upon the strength of library collections in the participating libraries.*

B-1. The State Library should develop a coordinated program for resource sharing and a statewide delivery system that integrate regional delivery systems and use appropriate cost-effective technology.

A State-supported network should be built on the base provided by regional resource-sharing systems. The system should make optimum use of prior public investment and establish clear standards for interlibrary loan network performance. Incentives should be provided to encourage the use of non-reimbursed resources.

B-2. The State Library should aggressively pursue the development of interfaces among interlibrary loan networks operating in New York State to ensure that all libraries have access to resource-sharing mechanisms.

The several major bibliographic data bases operating within New York State offer a diversity of services and opportunities for cost-effective choices. Among national and regional data bases that record holdings for libraries in the State are: MILCS (Metropolitan Interlibrary Cooperative System), OCLC (On Line Computer Library Center), RLIN (Research Libraries Information Network), The New York State Library Collection Management System, and the University of Toronto Library Automation System. Both machine and manual interface methods should be explored, and data-base development monitored for adherence to technical standards.

B-3. A planning council should be created by the State Library to help coordinate internetwork resource sharing.

While the number of interlibrary networks operating in New York State allows libraries to make choices and to select from a variety of services, there is no adequate mechanism for coordination of services or comprehensive planning. The lack of such a mechanism denies equal resource-sharing opportunities to all libraries in the State. The creation of a planning council would provide a forum both for the discussion and development of statewide interlibrary loan policy and for joint planning by the various interlibrary loan networks operating in the State.

B-4. The State Library should develop a statewide interlibrary loan code and establish criteria for and monitor the performance of publicly subsidized networks in consultation with the proposed planning council for internetwork resource sharing and regional multi-type library organizations (see Recommendation D-1).

Presently, there are no generally accepted standards for interlibrary loan network performance, and the performance of networks operating in New York State varies greatly. There is, for example, considerable difference in the time networks take to respond to requests by local libraries. Moreover, the percentage of requests filled varies greatly from network to network. Although a manual governs operations of the New York State Interlibrary Loan Network (NYSILL), it provides no statewide interlibrary loan code. The 1980 American Library Association model interlibrary loan code could serve as a basis for developing a loan code for New York State.

B-5. The New York State Interlibrary Loan Network should be redesigned to accommodate point-to-point access and to distribute loan reguests more evenly.

Although NYSILL network protocols encourage the use of local and regional sources before contract sources (private resource libraries providing materials to the network), the structure of the network is hierarchical and permits requests that cannot be filled locally to move in only one direction. They must be passed up to the region and from there to the State Library and to contract libraries. Since new technology makes faster, more economical point-to-point access possible (and the location of 16 million volumes owned by New York State libraries is already available in electronic locator files), it is appropriate to reexamine and redesign the network.

B-6. The number of resource libraries contracting to provide interlibrary loan materials to the New York State Interlibrary Loan Network should be increased and contracts should be sought with out-of-state sources as well.

Twelve resource libraries presently hold contracts to supply materials to the NYSILL network. With the restructuring of the NYSILL network and its accommodation to faster and more economical point-to-point access, additional resource libraries should be added to the system to take advantage of this more flexible structure and to increase the overall resources of the network.

C. AUTOMATION

The State Library and library systems of all types should seek means to realize the maximum benefits of current technology for libraries.

Rapid technological change has affected and will continue to affect all aspects of library service and library systems. Libraries are changing as they add materials in new formats (microforms, videotapes and video discs, and computer programs for self-instruction) to their collections. Library staffs are being reshaped and new personnel needs are being created as machines perform more clerical and professional tasks. Today's communications technology and computer-based storage and retrieval techniques make possible more rapid and efficient resource sharing. They also create the possibility of increased competition from private providers of electronic information services.

The libraries of New York State must work together, with the leadership and guidance of the State Library, to achieve the greatest economies and benefits from the use of technology. Cooperation is needed to help libraries make cost-effective choices from the great variety of new equipment, materials, and systems now available; to ensure access for all library users to new instructional media and automated reference tools; and to make certain that compatible systems for resource sharing are developed.

C-1. The State Library should develop and implement a statewide plan for library automation in consultation with the library community.

The draft of a *Library Automation Plan for New York State* has been prepared by the State Library and is presently being circulated within the library community for discussion and the suggestion of revisions. This plan suggests initial approaches for interconnecting data bases and integrating existing systems for resource-sharing purposes. At the same time, it recognizes the need for diversity in systems to permit cost-effective choices at local and regional levels. In addition to continued development of a statewide plan for library automation, the Committee recommends establishment of a competitive grant program for technological development.

C-2. The Commissioner of Education should initiate a major research and engineering study to plan and design the technological component of a coordinated resource-sharing and document-delivery system.

As a first step toward the long-term goal of a coordinated resource-sharing and information- and document-delivery system for New York State, the Committee recommends the commissioning of a major research and engineering study to design the technological component of such a plan. The study, conducted in consultation with the library community, should identify present technological resources, specify technological requirements for resource sharing, develop a system design, and assess the impact of future technological developments on resource-sharing systems.

C-3. The State Library should set standards for and ensure the compatibility of publicly funded automated systems.

By establishing policies and regulations for the use of State and Federal funds, in consultation with the library community, the State Library should ensure that library automation accomplished with public funds conforms to emerging standards for data exchange and is compatible with regional, statewide, and national systems.

C-4. The interlibrary loan network should provide access to computerized information retrieval data bases and resource-sharing technology.

All libraries should have access, through networks, to computerized information-retrieval data bases. Bibliographical data bases and communication systems should incorporate locator files and booking mechanisms for both print and nonprint materials.

C-5. Machine-readable data bases of library holdings should be developed as a function of regular library operations.

Libraries should routinely convert bibliographical data into machine-readable form, and adherence to technical standards should be monitored. Presently, records of 16 million volumes owned by New York State libraries are available in machine-readable format data bases, but a great amount of older material and most nonprint material cannot yet be found in locator files. Moreover, information about periodicals is incomplete, generally out of date, and has yet to be centralized.

C-6. Providers of library education and training should examine the needs of tomorrow's libraries for personnel with the knowledge, competencies, and skills needed to participate in technological development and to provide more responsive library and information services.

The State Education Department should explore with schools of library science, library systems, professional associations, and other providers of education and training for library personnel ways of ensuring that students and present library staff members have both the opportunities and the incen-

tives to acquire the technological skills and other competencies that will be required to meet user needs and provide the information services of the coming decade.

D. LIBRARY SYSTEMS

Library systems of all types should review and redefine their missions in terms of emerging user needs and technological development and alter their operations and structure when necessary.

During the past 30 years, systems have enabled libraries to provide a wide range of services that few individual libraries could supply on their own. Public library systems have improved services for millions of New Yorkers. Reference and research library resource systems have extended access to resources by linking public library systems with academic and other libraries. Legislation enacted late in 1978 authorized new initiatives in resource sharing through both school library systems and regional networks for intersystem cooperation.

Today, library systems must acquire the capabilities needed to take advantage of both intra-system and intersystem resource sharing. They must be flexible in designing plans of service that respond to the demands of all users, the needs of member libraries, and the opportunities provided by modern technology. Systems should consider organizational alternatives to improve service. Special attention should be given to the unique organizational needs of the New York City and Westchester County metropolitan area.

D-1. The State should create a maximum of nine regional multi-type library organizations from existing systems, incorporating all the functions of the present reference and research library resource systems and pilot regional networks for intersystem cooperation.

The recent history of New York State libraries reflects the rapid evolution of systems and networks to increase the capabilities of local libraries to meet the needs of all users. In 1950, the first public library systems were formed. Eight years later, central libraries were recognized as having special responsibilities within public library systems. In 1966, the reference and research library resources councils (3R's) were authorized, and in 1967 NYSILL was established. Two years ago, two pilot regional intersystem networks and 12 pilot school library systems were added.

Increasingly, benefits of resource sharing are being derived by all types of libraries. Considerable progress in resource sharing among different types of libraries has been achieved by the reference and research library resources systems during the past 15 years. The experience of the newer pilot regional networks, however, suggests that the functions and services of both sets of systems should be combined. This experience argues against the proposal of some planners to retain without change the present reference and research networks and create, in addition, nine new regional networks with geographic boundaries identical to the 3R's.

Rather than encourage a growing number of regional multi-type organizations with resulting duplication of effort and unnecessary administrative costs, the Committee recommends that a maximum of nine regional programs be developed from the present reference and research networks, and that the pilot regional networks, where they exist, be consolidated with the 3R's systems. By building on existing regional programs, services now provided by the 3R's and pilot networks will not be disrupted. The transition should be staged over a two- to three-year period, with current patterns of funding continued until the new regional organizations are firmly established.

The nine new regional multi-type library organizations should include public library systems, the evolving school library systems, and libraries now associated with the 3R's systems. Academic and special libraries should play the same active role in the new regional organizations that they now play in the 3R's systems; and the needs of serious researchers, now met in part through the 3R's, should be fully met by the new organizations. Efforts should be made to contact those special libraries not presently within the 3R's systems and involve them in the new multi-type organizations.

Clearly, the role of the new multi-type library organizations in the formulation of statewide library policy is most important. The structure of the new organizations would permit broad participation in the development of policy and allow the possibility of decentralizing certain functions now conducted at the state level.

The multi-type library organizations should be assigned responsibility for encouraging, facilitating, and coordinating:

- *Interlibrary loans among academic libraries, special libraries, school library systems, and public library systems;*
- *Cooperative regional resources development;*
- *Bibliographic control programs and production of local lists;*
- *Shared computer services;*
- *Shared delivery services;*
- *Continuing education for the staffs of member libraries to supplement staff training within each library;*
- *Improved communication among all types of libraries within the region and with the State Library;*
- *Formulation of recommendations on funding, policy, and service programs within the region;*

- *Adherence to State standards, policies, and codes.*

The new organizations will plan multi-type library cooperation to facilitate access to all types of information for all users. They must be particularly concerned with cooperative data-base development and use, cooperative acquisition of materials, microfilming and preservation programs, and the multilibrary use of computer facilities.

The new regional multi-type library organizations should be governed by boards of trustees representing both the public and the participating institutions. Each board should appoint an executive officer in consultation with the State Librarian. Candidates for the executive officer position should meet requirements of education and experience specified in regulations to be issued by the Commissioner of Education.

D-2. Through the use of current technology, the responsibility for interlibrary loans, since 1958 assigned primarily to central libraries in public library systems, should be shared.

New technology for prompt location and delivery of materials held by all types of libraries in a region has changed the traditional interlibrary-loan role of central libraries. While, in the past, regions depended upon strong central library collections, regional collection development planning and new technology now make it possible to disperse resource-sharing responsibilities among many libraries.

D-3. Public library systems must be strengthened.

The strength of neighborhood public libraries depends heavily upon the services of public library systems. Although both the structure of public library systems and the services they offer vary, systems generally provide programs to strengthen member library operations and to improve services to individual users. For member libraries, these programs include such essential cooperative services as central library acquisitions and collections, in-service training, resource sharing through union catalog services, reference backup, and interlibrary loans. For individual users, systems offer a variety of service programs directly and through member libraries. These include bookmobile services, books by mail, access to computerized data bases, job centers, adult-education and career-guidance centers, and services for the handicapped.

D-4. The State Library should work with library systems to develop individual plans of service, improve internal organizational development, and encourage broad participation in decision making.

To ensure that library systems use State funds as effectively as possible, the State Library should work with systems to help develop plans of service, monitor programs, and conduct fiscal reviews. In collaboration with systems and their member libraries, the State Library should develop an improved process for review and revision of system service plans by the Education Department. The review process should offer greater opportunities for participation by systems and member libraries.

To minimize the friction that exists within some library systems, the State Library should work with member libraries, boards of trustees, and administrators to:

- *Clarify the roles of each within the system;*
- *Offer leadership and provide training in organizational development and renewal, accountability, and planning;*
- *Encourage broad participation in system decision making.*

Use of a committee structure and a user advisory council should be encouraged. Variety in the size and composition of boards should continue to be permitted, reflecting differences among the various library systems.

D-5. The State Library should collaborate with local and regional Library systems to consolidate existing systems when this will improve service or reduce costs.

New York now has 31 State-aided regional systems (22 public library systems and nine reference and research library systems). Present plans would allow a maximum of 49 school library systems. With new technology making it possible to provide service more economically to larger geographic areas and greater number of users, the merger of some public library systems and the consolidation of public library systems with 3R's systems may be feasible in some regions. For example, the Long Island Task Force has proposed creation of a single library system for Nassau and Suffolk counties. Voluntary consolidation of all types of systems and the consolidation of existing systems with new systems should be encouraged through fiscal and other incentives.

E. SCHOOL LIBRARIES

School library services must be strengthened by revising state regulations, developing school library systems, and by including school libraries in resource-sharing programs.

Effective school library programs are needed to help students develop basic inquiry skills and become lifelong learners and library users. Great unevenness now exists in the quality of school library service. About one of every four elementary school students in the State has limited access to library resources and minimal or no contact with a certified school

librarian. While it is the responsibility of the State to plan for and to assure appropriate levels of service, a greater combined local, regional, and State commitment must be made to provide school library programs that offer adequate collections, staffs, and facilities.

School libraries require the support and cooperation of systems dedicated to their own specific needs. It is the Committee's judgment that serious governance and service problems would result by attempting to incorporate school libraries into public library systems. However, school libraries should interact with public libraries through the participation of school library systems in the proposed regional multi-type library organizations.

E-1. School library regulations of the Commissioner of Education should be revised, raising the present minimal standards and requiring local plans for school library development, resource sharing, and support.

Current Commissioner's regulations for school libraries are minimal and out of date. Revision of these regulations should be based upon the recognition that an effective school library service program requires professional staff at both the building and district level. Revision of the regulations should require elementary as well as secondary schools to have certified school librarians. In small school districts, personnel-sharing arrangements between the Boards of Cooperative Educational Services (BOCES) and districts should be explored as a practical way to meet the dual needs for building-level librarians and district library supervisors. Revised regulations should specify the need for both nonprint and printed materials.

School libraries are an integral part of a school district's total educational program. They should fully support teaching and learning. To assure this, Commissioner's regulations should require each school district to prepare a plan for school library development at the building and district levels. This plan, developed jointly by school administrators, librarians, teachers, and students should specify how school library programs will meet the needs of students and teachers. The plan should also show how the district's school libraries will participate in resource sharing through systems.

The Bureau of School Libraries staff should assist representatives of education and library organizations to develop appropriate recommendations for school library service standards and to identify the resources needed to assure every child access to such service.

E-2. School library systems should be developed throughout the State to make possible resource sharing among schools and districts and with other types of libraries.

The 12 pilot school library systems organized in 1979 are demonstrating that school libraries can improve services through resource sharing and the greater use of technology. While the 44 BOCES and five big city districts would seem to provide a natural administrative and service structure for first-level resource sharing, it may be possible to organize fewer than 49 separate systems. BOCES and big city districts should consider such other alternatives as contracting for library system services from each other, public library systems, or existing school library systems.

Since all students in New York State are entitled to equal opportunity for education, school library systems should include the libraries of nonpublic schools.

E-3. Local boards of education should be permitted to include the cost of school library materials in contingency budgets.

Under present interpretation of existing statutes, a school district (after rejection of its full budget proposal by the electors) may not include the cost of new library materials in a contingency budget adopted by its board of education. Since the library materials of schools are basically instructional, the Commissioner of Education should determine if the statutes will sustain the interpretation that new school library materials may be included in a contingency budget. If the statutes will not sustain this change in interpretation, then legislation should be sought that will permit a board of education to include the cost of library materials in a contingency budget.

E-4. The Bureau of School Libraries should have the staff and resources needed to fulfill its responsibilities for the development of school libraries.

A significant role in the development of more effective school library programs will be played by the Bureau of School Libraries. The Committee believes the Bureau must have the staff and funds to foster broader participation in the development of both curricular support programs in schools and recommendations for new school library standards and to aid school districts in the formulation of plans for library development.

F. FUNDING FOR LIBRARY SERVICES

Financial support of libraries must be increased, and additional State aid provided to support systems, stimulate increases in local funding, and encourage resource sharing.

To ensure adequate access to information resources and services for all residents of New York State, libraries and library systems require additional State and local support.

In 1980-81, State support for libraries amounted to some $118 million, nearly one quarter of the total support for all libraries in the State, including:

- *$35.3 million for libraries at publicly supported universities and colleges;*
- *$40.7 million as the "State share" of support for school libraries (exclusive of School Library System Pilot Projects);*
- *$7.3 million for the State Library, library activities of the State Education Department, and libraries of other State agencies and State institutions;*
- *$34.6 million for local assistance to libraries. Of this amount, $31.4 million was allocated as State aid for public library systems to help support both the systems and their member libraries, while the remainder went to reference and research library resource networks, pilot projects, and other special programs.*

The Legislature has appropriated $40 million in local assistance for 1981-82 and authorized $43 million for 1982-83. The Committee is convinced that additional local assistance is needed, with more funds for systems and a greater proportion of those funds directed to local libraries and resource sharing. Recognizing the competition for tax dollars and the fiscal restraints imposed by the State's mature economy and declining population, the Committee has made recommendations aimed at achieving maximum gains in service at minimum cost. Nevertheless, no less than $57 million in local assistance for libraries and library systems will be needed in each of the next two years to implement the Committee's recommendations.

Additional State aid will be required to offset the losses in purchasing power caused by inflation; however, increases in excess of that amount should be targeted to State priorities for library development established by legislation or determined by the Board of Regents. Assistance to such internationally recognized collections as The Research Libraries of the New York Public Library and the Schomburg Center for Research in Black Culture should also increase, reflecting the importance of these resources to scholars from around the world.

The Committee believes the State must realistically increase its appropriations for the State Library and libraries of the State University of New York system and the City University of New York. The Legislature should also direct a portion of school aid for school library media resources and services at the building level.

F-1. The State's commitment to library service should continue to be expressed through support for library systems as an efficient means of making resources and services available.

State aid programs should be revised to increase aid, redirect portions of present aid programs, strengthen the stimulus for local support, and encourage those benefits of library systems that originally motivated their creation: the efficient and economical sharing of services and materials.

State aid for library services should ensure a level of service commensurate with the varying needs of users, and those services should be provided by all types and sizes of libraries. It should be made available in ways that stimulate local and institutional responsibility for library support and provide incentives for achieving State objectives.

Proper levels and combinations of State and local support are essential if the library needs of all the people are to be met. Where local and regional abilities to support libraries are below standard, State aid should raise the level of library service to an accepted minimum. Where local and regional resources are available, State aid should be used to encourage increased local and regional support. Allocation of Federal funds should reflect Federal and State priorities, and these funds should be appropriately integrated with local and State resources.

F-2. The complex formula for public library system aid should be revised to reflect demographic changes, service needs, and sound principles of State-aid administration.

The formula for State aid to public library systems, based upon population, square mileage, book expenditures, number of counties, and central library function, has been modified over the years on a piecemeal basis. The result has been a distortion of those balancing factors included in the original formula to ensure equity in the allocation of funds. Study and revision of the present complex system are now needed.

The need for new and renovated buildings is well documented. Many aging plants should be rehabilitated or replaced and library buildings should be made more accessible to the handicapped and more energy efficient. This need has resulted in various proposals for State aid to support the construction and/or major renovation of public library buildings. Except for Federal funds (LSCA Title II) for construction provided during the 1960s and available until 1974, the cost of local public library buildings has been borne largely by local sources. While the Committee recognizes the urgent need for improved library facilities, the need for additional service and program support appears to have a higher priority during the 1980s.

F-3. The Local Sponsor Incentive Aid Program should be revised to stimulate local support for libraries and systems and to increase the proportion of such aid. To improve relationships between libraries and systems, the present formula for dividing payments should be changed.

Most local assistance administered by the State

Library goes to public library systems and the present public library aid mechanism provides only a weak stimulus for local fiscal support. That inducement is limited because local districts are assured of only 40 to 60 percent of the aid that their dollars "earn" through Local Sponsor Incentive Aid (LSIA), and there is a legislative ceiling on these funds.

LSIA is not the sole source of State aid supporting the operation of local libraries. In the 19 nonconsolidated library systems, where LSIA payments to member libraries in 1980 totaled $1 million, an additional $5.2 million in grants was made by the systems to their member libraries. Funds for most of these system grants came from State aid. A minor portion came from county or other sources. The three consolidated systems received $15.5 million in State aid for local library operations.

The present LSIA formula should be changed to restore its original purpose—to generate increased funds for library service. To develop stronger incentives for local support, the ceiling limiting LSIA increases to no more than 40 percent above the 1980 level should be removed. Additionally, the present State/local matching factor should be substantially raised from its present level of $.65 per $11.

The provision that 20 percent of LSIA payments be apportioned as the system and member libraries agree (the other 80 percent is divided equally between system services and local libraries) contributes to tensions between the system and its member libraries. The law should be revised to apportion 60 percent of LSIA payments to member libraries and 40 percent to the system. Individual member libraries should share in these LSIA funds in direct proportion to the support they receive from local funding authorities.

F-4. Consistent with the purpose of this assistance, the reimbursement rate for book expenditures should be increased to create incentives for material acquisition.

Resource sharing does not obviate the necessity to develop strong local collections to meet local needs. Public library system aid has long recognized this, and the 20-year-old book reimbursal factor should be revised to reinstate an incentive for materials acquisition. This could be accomplished without a major increase in State appropriation by changing the base at which matching State aid is paid from $.40 per capita of local expenditures for library materials to $.60 per capita.

With such a change, the $8.1 million currently available for this purpose would encourage local expenditures of at least $1.06 per capita instead of $.86 per capita under the present formula. The proposed level is more realistic in light of today's materials costs. Hardcover books now cost an average $23.57, and the 1980 statewide per capita expenditure for materials was $1.91 (with a range of $.90 in Chemung-Southern Tier to $4.59 in Nassau).

F-5. State aid should be used to encourage resource sharing within systems, between systems, between libraries in different systems, and among all types of libraries in the State. State funds should be provided to the proposed regional multi-type library organizations, including assistance for the reimbursement of significant net lenders. A portion of the aid presently provided for central library development should be used to support resource sharing.

Regional multi-type library organizations and the State Library must become partners in developing a compatible statewide automated bibliographic system. Recommendations B,C,D, and F suggest how technology will affect the level and allocation of State aid.

As the reference and research library resource systems and pilot regional networks develop into new regional multi-type library organizations, funding should increase. The present level of support for 3R's and regional pilot systems covers basic office and limited program costs and is inadequate for the new regional organizations, which will have broader responsibilities. The Committee therefore recommends that a total of $7 million be made available to the multi-type library organizations with the major portion of this aid applied to data-base development, applications of new technology, and reimbursement of significant net lenders. The new regional organizations should be responsible for applying these funds within State guidelines.

Aid for central libraries, as well as their role in public library systems, should be re-examined in the light of present and projected patterns of information resource sharing. Such a re-examination should recognize the factors that presently provide the rationale for central library development aid (space, hours of service, levels of staffing, and systemwide support for information services and bibliographic assistance). However, regulations governing this form of aid should be amended to provide assistance to all member libraries that contribute significantly to interlibrary loan programs and to help support technology that yields long-term resource-sharing benefits.

F-6. State aid should be provided to support the development of a statewide plan for the acquisition and application of new technological systems.

Since the increasing use of technology can enhance library services, permitting greater speed and efficiency while constraining long-term costs, a statewide automation plan will be of benefit to all library users. Accordingly, the Committee recommends that $250,000 be appropriated for an initial two-year period to plan for the acquisition and application of new technological systems (as proposed in Recommendation C-2).

F-7. State and Federal funds for library automation should be used to develop mechanisms for all libraries to participate in networks.

Priorities for the use of State and Federal funds for library automation should be determined by the degree to which the proposed uses facilitate the participation of all libraries in networks. The development of machine-readable data bases should be considered a normal function of library operations and should therefore be financed by local funds. State and Federal funds should clearly be used to link data bases. They may also be used to accelerate the planned rapid conversion of data to machine-readable form in order to make bibliographic and holdings information immediately available to all types of libraries.

F-8. The State should participate in financing the development of school library systems.

The BOCES cooperative services agreement provides one of the mechanisms through which school library systems can be financed by both local school budgets and State aid for schools. Means should be developed to provide parallel support for library systems in each of the five big city school districts. The Education Department should seek legislative authorization and funds for an accelerated, but realistic, phased development of school library systems. Support should include State establishment and incentive grants.

G. THE STATE LIBRARY

The State Library should be provided the resources to strengthen its role as a research library and to exercise its leadership in the development of all types of libraries and library systems within the State.

The 1978 mission statement of the New York State Library, which affirms its dual role as a research library and a library development agency, is appropriate to the 1980's. In recent years, the State Library has been tested by new demands—the move to a new building, increased service needs, and a tightened financial situation. Reductions in staff, extended vacancies in key positions, decline in book- and serial-purchasing power, and other austerities have had adverse effects upon both the State Library's internal programs and its coordination of statewide activities. However, new services have been initiated and important older ones sustained largely through improved program management, reallocation of resources, and the use of new technology.

Challenges of the 1980's will require additional reassessment of priorities, reorganization and reallocation of resources, changes in collection policy, increased use of technology, improved management, and additional funding for staff. Improved statewide and library development programs will be critical in several key areas: planning and evaluation, use of technology, implementation and coordination of regional multi-type systems (including appropriate decentralization of decision making and responsibility), further development of resource-sharing mechanisms, and coordinated information service to the Legislature and the other branches of State government. The State University, the Department of Corrections, and the Department of Health, as well as many other State agencies, are responsible for the operations of library service programs. The State Library must continue to play a strong role in promoting intra-agency and interagency cooperation and coordination in the planning and delivery of library services.

G-1. The State Library's capacity to coordinate library development throughout the State should be increased.

The development program of the State library should facilitate appropriate responses to the sharply varying needs and conditions of libraries throughout New York State. Priority should be placed on annual reviews of system plans and budgets as means for program evaluation.

Education Department responsibilities for development of academic, institution, public, school, and special libraries will become more interrelated as development of library systems proceeds. The library development functions of the Department therefore should be examined with a view toward greater coordination and integration of effort.

A strengthened relationship between Education Department staff and systems directors is necessary to maximize investments in technology, collection development, resource sharing, and staff development. The position of Director of Library Development should be reestablished and should be provided with sufficient staff to administer the program recommended by the Committee.

G-2. The State Library should have sufficient and appropriate staff to fulfill its responsibilities for the coordination of technological development and the direction of planning, research, and evaluation.

The growing importance of technology and the anticipated regional employment of technology within a statewide plan should be reflected in the capabilities of the State Library. A staff sufficient in number and technically competent to advise libraries about technological changes should be developed to help libraries and the State work together toward common goals.

Planning, research, and evaluation are significant and critical components in the development of standards, statewide coordination, resource sharing, and library automation. They should focus on areas

of fiscal or service impact. The State Library requires the capacity to initiate and manage planning and evaluation studies. Setting standards and making management decisions are Education Department responsibilities, but the Department should rely primarily on outside contractual services to execute needed studies. The State Library should also actively seek to influence the direction of other planning and research activities at the State and national level in order to yield data that will be of value to New York State.

AN OVERVIEW OF THE LIBRARIES AND LIBRARY SYSTEMS OF NEW YORK STATE

New York State has more than 7,700 libraries—public, academic, school, special, and institution—with 158 million books, pictures and manuscripts, almost 10,000 professional librarians, 12,400 other employees, and annual operating expenditures of $526 million. In addition, corporations, associations, and private research centers have library resources that are now becoming available to users of publicly supported libraries.

New York State's libraries draw researchers from throughout the nation and the world and are leaders in the development of innovative services. Much of the new technology for storage, retrieval, and communication of information was conceived in New York, and the State's library systems were among the first in the nation.

Every resident of the State benefits from libraries. Libraries serve educational institutions, all agencies of government, every business and corporation, communication in all forms, and the entire range of community institutions from hospitals to museums. The well-being of the State's economy depends on strong, well-supported libraries that adapt to changing needs.

In general, responsibility for library services in New York State rests with the Board of Regents of The University of the State of New York, empowered by the State Constitution to direct educational activities. The Regents appoint the Commissioner of Education, the State's chief educational administrator and President of The University of the State of New York, who issues regulations for library operations. Under the Deputy Commissioner for Cultural Education, the Assistant Commissioner for Libraries serves as State Librarian, administrator of the State Library and chief library officer for the State. Responsibility for school libraries is assigned to the Bureau of School Libraries within the Office of Elementary, Secondary, and Continuing Education.

The State Legislature elects the 15 members of the Board of Regents, enacts laws governing education, and appropriates funds for the State Education Department and for library programs. State laws and Commissioner's regulations determine standards of library service and authorize the chartering of public libraries, schools, and universities and the certification of library staffs.

Appointed or elected boards determine policies for public libraries, while elected boards of education are responsible for the library policies of public schools. Professional principles and practices also influence library operations. These range from standards for the selection of materials to the development of national networks for sharing of information and materials.

H. LIBRARIES

H-1. Public Libraries

The people of New York State use community public libraries to borrow books, pamphlets, pictures, and films, read magazines and manuscripts, and participate in a variety of cultural activities. Public libraries serve as essential supplements to libraries for students from primary grades through graduate studies. Corporations rely on public libraries for business and technological information. Public libraries also serve the research needs of government agencies and many professional workers. For citizens of every age, the public library provides information they need to serve their communities, pursue hobbies, solve personal and family problems, and enjoy creative recreation. Public library staffs offer services in person and by phone and serve remote areas by mail or bookmobiles.

SUMMARY OF LIBRARY STATISTICS – 1980

	Number	Total Volumes	Professional Staff	Support Staff	Total Operating Expenditures	Expenditures Salary	%	Materials	%
Public[a]	724	49,070,548	3,387	6,110	$241,856,555	$155,273,921	63	$35,134,072	14
Academic[b]	266	52,848,529	2,368	3,583	153,289,769	NA	NA	41,222,730	27
School[c] – **Public**	4,207	40,596,070	3,463	2,014	113,246,850	83,163,051	73	18,377,002	16
Nonpublic	2,148	8,950,680	NA	NA	NA	NA	NA	1,997,376	NA
Institution[d]	151	717,344	93	NA	1,708,897	1,255,274	73	414,545	24
Medical[e]	215	4,080,725	369	498	11,257,476	NA	NA	4,603,686	41
NY State Library[f]	1	1,779,909	107	169	5,108,101[g]	2,729,036	53	1,262,863	25
TOTAL	7,712	158,043,805	9,787	12,374	$526,467,648	$242,421,282	46	$103,012,274	20

[a] *Public and Association Libraries Statistics 1980*
[b] Preliminary data (Fall 1980) supplied by the National Center for Education Statistics, July 1981
[c] SED Information Center on Education, Public/Non-public school library statistics, 1979-80, September 8, 1981
[d] *Institution Libraries Statistics 1979/80*
[e] *A Directory of Medical Libraries in New York State, 1980*
[f] *New York State Library, 1981* and 1980-81 ARL Questionnaire
[g] Does not include Library Development
NA Data not available

New York State Library
9/8/81

Of the 724 public libraries and their 200 branch libraries, almost two-thirds are located in small communities with populations of less than 7,500. The three consolidated public libraries in New York City (Brooklyn, New York, and Queens Borough public libraries) serve more than 40 percent of the people of the state.

Local communities provide three-fourths of the financial support for public libraries, which totaled $242 million in 1980, an average annual expenditure of $12.21 per person. The range in support, however, varies tremendously from less than $1 to more than $90 a person.

Each public library is an autonomous unit within a municipality, county, or school district. The Board of Regents charters public libraries as not-for-profit corporations. To comply with State requirements, a library must meet minimum standards for hours of service, professional staff, number of board meetings per year, and annual reporting. Each public library's resources and services must reflect the nature and needs of the community it serves.

H-2. Academic Libraries

Two-thirds of the high school graduates in New York State continue formal studies. The State ranks second only to California in the number of students enrolled in degree-granting institutions of higher education. In 1980, enrollments totaled almost a million persons. Of the 247 colleges, universities, and other post-secondary schools in the State, 82 are publicly supported, 138 are independent, and 27 are proprietary institutions offering training in technical skills.

The library resources of these institutions are a major part of the State's total library resources. The colleges, universities, and other schools of higher education have 53 million books in their libraries and receive 433,500 subscriptions to periodicals. The average annual operating expenditure for these libraries is $158 per student. Independent colleges and universities have more books and larger library budgets in relation to the size of their student bodies than do the publicly supported institutions. Almost all academic libraries share resources through library networks.

The libraries in the 64 units in the State University of New York (SUNY) contain 23 percent of the academic library holdings in the State. An additional 8 percent are in the libraries of the 20 units in the City University of New York (CUNY). The remaining 69 percent of the academic library holdings are in independent colleges and universities.

Undergraduate and graduate students and faculty are placing greater demands on libraries. They require access to on-line computerized data banks for current information, especially in scientific, medical, and technical fields. They often need to consult books and journals that are unavailable in their own libraries. Students who combine work and studies need extended hours of library service.

Greater diversity in higher education is placing new demands on libraries. Students in nontraditional learning programs, including many part-time students who often have jobs and family responsibilities, require access to the resources of both academic and public libraries and more guidance from library staffs. The program to help prison inmates continue their educations also requires additional library resources and new patterns of service.

The Board of Regents or the Legislature grants the charter that every institution must have. State law and Commissioner's regulations establish standards for registering institutions of higher education in New York. These include minimum requirements for library resources and services.

H-3. School Libraries

School libraries are essential resources for the education of the almost 3 million students in New York public schools and more than half a million students in nonpublic schools. Although 38 percent of the State's students are in its five largest cities, most school districts are relatively small. Of 730 districts, only 101 serve more than 5,000 students, and 115 serve fewer than 500. Students in 95 percent of the public elementary and secondary schools have access to a library, as do students in 75 percent of the nonpublic schools. Annual per pupil expenditure for public school libraries averages $38.28. Of this, approximately $6 is expended for library materials. (Nonpublic schools spend an average of $4 per pupil for library materials.) State funds provide 38.5 percent of the budgets for public schools, but school bookkeeping and administrative practices make it impossible to identify the amount of State aid spent on library services.

In today's school library, students and teachers find books and magazines, pictures, records, filmstrips, and other nonprint materials. In recent years, the importance of school libraries has increased dramatically as teachers have demonstrated the value of a wide variety of instructional materials, both audiovisual and print. The use of computer-assisted instruction is growing, and the merging of microcomputer and video-disc technology will provide a potential for instruction that is nearly limitless.

The responsibilities of the Commissioner of Education for school libraries are exercised through the Bureau of School Libraries. Local boards of education set school policies, including those for education through libraries. State certification (except in New York City and Buffalo, which have their own licensing requirements) requires school librarians to hold a teacher's certificate with graduate-level specialization in school librarianship.

The Regulations of the Commissioner of Education require that "a school library" shall be established and maintained in every "elementary and

secondary school." Although elementary schools must have a library, no minimum staffing or specific number of titles are required. Staffing and collection requirements for secondary schools are based on enrollment. For example, requirements for a secondary school with 500-1,000 students are five periods of a school librarian's time and 5,000 titles.

The lack of a governance structure that permits school librarians to participate in making decisions or to assume responsibility for school-library program development has been identified as a barrier to local progam development, school library system development, and effective resource sharing.

Another concern is the minimal expenditure for library materials. National standards now recommend 6 percent of expenditures for all school materials as the appropriate budget for library materials. In New York, the average is now less than 1 percent, or approximately $6 per student, and many districts spend less than that.

H-4. Special Libraries

New York State has hundreds of special libraries. They serve corporations, not-for-profit organizations, medical facilities, and State institutions. Ninety libraries are located in State-operated correctional, youth, and mental health institutions, while service for city and county institutions is usually provided by public library systems, which receive a modest amount of State assistance for this purpose.

The State has 215 medical libraries with total operating expenditures of $11.3 million. A regional medical library network sponsored by the National Library of Medicine provides access to specialized health information resources in New York and New Jersey. In 1981, the Legislature appropriated $350,000 to develop an interface between this network and the New York State Interlibrary Loan Network (NYSILL).

Except for libraries in institutions operated by government agencies, most special libraries operate without tax support or government regulation. The recent growth of multi-type library systems with special libraries as members, however, is creating greater access for the public to the resources of these valuable collections.

I. LIBRARY SYSTEMS

Libraries join together in systems to share resources and services for the benefit of all users. In the 1950s, New York State developed some of the country's first public library systems. Today, systems cover the State and encompass all types of libraries (academic, public, institution, school, and special). The State Education Department has provided leadership and guidance in systems development and served as a conduit for State and Federal funds for library systems.

Membership in systems is voluntary, and systems vary in membership, governance, funding, and services. All share, however, the common goal of enabling member libraries to offer services they could not provide individually. Service priorities are set by members in response to user needs. Library systems permit more cost-effective library operations. They provide access to unique resources and reduce unnecessary duplication. Membership in a system, however, is no substitute for adequate resources and services in the member library. Only when each member library is strong can a system be strong.

Because the plans of service of library systems are general, trustees and staff have many opportunities to develop programs and set priorities. For program development, systems use their own funds and staffs and the shared resources of member libraries.

I-1. Public Library Systems

After experiments in the 1940's proved successful, State legislation in 1950 authorized the creation of public library systems. The Commissioner of Education has since approved plans of service for 22 public library systems which cover the entire State. All but seven of New York's 724 public libraries belong to systems. Each system has its own board of trustees, which formulates policy under a plan of service approved by the Commissioner of Education. There are three types of public library systems:

Consolidated—with member libraries as branches of a main library;

Federated—created by a county board but with member libraries governed by their own boards;

Cooperative—formed by autonomous member libraries.

Typical examples of public library system services are:

- *Coordination of services and functions through cooperation;*
- *Cooperative development of central library acquisitions and collections;*
- *Education and in-service training;*
- *Evaluation of services and programs in relationship to systemwide goals;*
- *Resource sharing through union catalog services, interlibrary loan interface with NYSILL, and delivery systems;*
- *Program development, including provision of consultant services (children's, young adult, adult services) audiovisual, and other programming;*
- *Computerized data base service;*
- *Centralized audiovisual services;*
- *Extension of library services to people who live in communities without local libraries (by bookmobiles, books by mail, "free direct access" agreements, etc.);*
- *Experimentation with new programs, such as job centers and adult-education career guidance centers;*

- *Specialized services to blind, deaf, or otherwise physically disabled persons;*
- *Central library services;*
- *Service to correctional institutions.*

By definition, a public library system means a library system established by one or more counties, a group of libraries serving an area including one or more counties in whole or in part, a library of a city containing one or more counties, or cooperative library systems established pursuant to Section 255 of the Education Law.

CHARACTERISTICS OF PUBLIC LIBRARY SYSTEMS

Members. Any chartered or registered free association or Indian library within the geographical boundaries of a public library system may be a member of that system.

Trustees. The board of trustees of each public library system must meet certain requirements outlined under the Public Officers Law and the regulations of the Commissioner of Education. In a cooperative library system, the trustees (numbering from five to 25, depending on the charter) are elected by the member libraries; county system trustees (numbering from five to 11, depending on the charters) are elected by the county legislative body; and the election and number of trustees in the three consolidated city systems vary according to their instruments of incorporation. The boards of trustees must report annually to the State Library.

Funding. State aid for public library systems is based on a formula that balances such factors as population density, size, and area served and local support.

Plans of Service. The plan of service submitted by a public library system must provide for free direct access by all residents of the area to the total library resources within the system. Each system's plan of service must also include a description of the means by which various economic, cultural, civic, and age groups will be assisted by the library in deriving maximum benefit from library resources. Each public library system must have a central library with a plan of service approved by the Commissioner as a focal point for public library system services. Furthermore, there are requirements for numbers of staff and numbers of titles in both the total system and the central libraries.

Central Libraries. Beginning in 1958, and as a result of the 1957 *Report* of the Commissioner's Committee on Public Library Service, the important role that the major member libraries play in public library systems received recognition through the formal designations of central or co-central libraries in each system plan. Eligibility for special State aid was and is contingent on such designation. This State aid is intended to augment, as well as compensate for, the unique resources and services which the central and co-central libraries offer.

These central libraries provide reference service and interlibrary loan to other member libraries. In addition they provide to any resident of the system area (willing to travel to the central library) the full range of public library services.

Attention was first directed toward building and maintaining a core collection of at least 100,000 adult nonfiction titles in an existing library in each public library system. (The inability of a single existing local library to house and service a collection of that size has resulted in two co-central libraries being designated by five systems.)

Central Library Book Aid (CBA) originally went only to central libraries with collections of fewer than 100,000 volumes. In 1981, all 22 public library systems receive $48,750 annually for maintenance of central library collections. Central Library Development Aid (CLD), ranging from $63,750 to $572,000 per system annually, provides funds to central libraries for special costs they encounter as a consequence of their designation. These include housing the core collection, increased direct and interlibrary loan activity, and providing direct and indirect reference services to a systemwide population that may be as much as 20 times larger than the community that established and supports the central library.

During the past 30 years, New York's systems of public libraries have demonstrated that cooperation can result in better service for users. Today, public library systems cooperate to offer combined services. Sixteen systems operate a statewide borrowers' program allowing readers to borrow from any library in the participating systems.

The expanding needs of users and the introduction of such new technology as computerized data banks, however, have made it essential for different types of libraries (both publicly and privately supported) to work together. This is a national pattern, and a number of states are now creating new patterns of library cooperation, with public, academic, school, and special libraries joining together in multi-type library systems.

PROBLEMS OF PUBLIC LIBRARY SYSTEMS

1. *System Services, Priorities, and Governance.* Library system organization and governance vary from system to system. Boards have different composition, methods of election or appointment of trustees, and decision-making processes. Some member libraries see system services as irrelevant to their needs or having a lower priority than direct support. All members of a system will not be in agreement on priorities. Some system members are reluctant to recognize system leadership.

Tensions exist in some nonconsolidated public

library systems between member libraries and administrators and boards of trustees. In all systems, there is a concern for a more effective relationship between member libraries and boards of trustees and administrators. Some systems make good use of committees and forums in which directors of member libraries interact with system staff.

2. *Funding.* Current funding is insufficient to provide the services needed by public library systems and there are different points of view on the balance between system and local support. Public library systems are cutting back on services because increases in State aid are not keeping pace with developmental needs and increases in such key library costs as printed materials and energy. Local libraries are in a similar situation. Some members of cooperative public library systems contend that the amount of State aid earmarked for local library operations by present State aid programs is not in balance with the amount reserved for systemwide services. Increased State aid-based cash grants for local library operations have been suggested. Financial straits of the public libraries in New York City are the concern of library users, professionals, and the press. Drastically curtailed operations are threatened each year. City officials view increases in State aid as a substitute for local support.

3. *Library Construction.* Library services in many communities are restricted because of inadequate buildings. Many libraries are inaccessible to the handicapped, and many require an untoward percentage of operating funds for heating. A fall 1980 survey of public libraries and public library systems indicated a need over the next five years to initiate 108 library construction or remodeling projects at an estimated cost of $95.4 million. Federal funding under LSCA Title II (Construction) has not been available since 1974 and seems unlikely to be available in the foreseeable future.

4. *Increasing Use of the Supplemental Budget for Special Library Projects.* The major portion of State aid for libraries since 1950 has been allocated for statutorily based assistance through library systems. Such aid benefits libraries in all parts of the State through a balanced formula that recognizes differences in various regions, while at the same time assuring a base level of program. Regents' legislative proposals for increases in State aid reflect this concern for maintaining a common minimum quality of library service throughout the State. In recent years, the number of special appropriations for individual libraries and particular library programs through the supplemental budget has increased. Such special appropriations distort, and sometimes compete with, the intended balance of the general State aid formula.

5. *Role of the Central Library.* Following the principle of building on existing strength, central libraries were given special responsibilities in 1958. One major responsibility was for interlibrary loans. Today, computer technology makes it possible to disperse responsibility for resource sharing and cooperative collection development more widely within public library systems.

I-2. Reference and Research Library Resource Systems

Advances in technology in the late 1950s and the information explosion and burgeoning research in the early 1960s created the need for librarians, educators, and researchers to agree on a systematic approach to supplying reference and research services to the scholarly community, the professions, business, and industry. As a result of the 1961 report of the Commissioner's Committee on Reference and Research Library Resources, and the 1965 Governor's Conference on Libraries, nine reference and research library resources systems (3R's) were established and chartered by the Board of Regents.

A primary goal of every reference and research system is the sharing of resources to meet the reference and information needs of college and university undergraduate and graduate students and faculty, members of the professions, and similar special library users. Each develops its own program. Among the services the reference and research systems offer are:

- *Interlibrary loan among public, academic, and special libraries;*
- *Continuing education for member libraries and staffs;*
- *Delivery services;*
- *Production of union lists and bibliographic control programs;*
- *Improved communication among different types of libraries;*
- *Cooperative acquisitions programs;*
- *Microfilm and preservation programs;*
- *Cooperative use of computer systems (including OCLC).*

The nine 3R systems observe the boundaries of the public library systems of their service areas.

CHARACTERISTICS OF REFERENCE AND RESEARCH LIBRARY RESOURCE SYSTEMS

Members. All 3R systems are associations of college and university libraries, special libraries, public library systems, and, in some instances, BOCES. The nine systems cover the entire State and their members include all 22 public library systems and 500 academic, institution, health agency, and hospital libraries, along with other special libraries.

Trustees. Statute and regulations of the Commissioner of Education establish standards for the governing of systems by boards of trustees elected by the membership. These boards (five to 25 members, depending on each charter) include representatives of member libraries, public library systems, and lay persons from the research communities served by the system.

Plans of Service. 3R's operate under plans of service approved by the Commissioner of Education. These include information about resources and needs, proposed programs, budgets, and contractual agreements. The plan must demonstrate the method the system will employ to improve and increase library services for their areas. The plan must further include a description of the system's efforts to employ local responsibility, initiative, and support for library services so that State aid will assist but not substitute for local and institutional support. The 3R's plan of service must also include assurance that public funds will be used economically and efficiently and that the system will assure compatibility of its computerized and other technical operations with those of other library systems in the State and with the New York State Library. It is incumbent on the 3R's to indicate that this plan of service is compatible with plans of service for other library systems operating in the region by demonstrating evidence of appropriate consultation with public library systems, school library systems, and/or regional intersystem cooperative networks.

Problems of reference and research library resource systems are similar to those of public library systems and include questions of services, priorities, and governance. An issue unique to the 3R's systems has been raised by some public library trustees who feel that library and library system directors should not be permitted to serve (as many now do) as trustees of 3R's systems.

I-3. School Library Systems

The need for new, often expensive, materials to support curriculum and the need to draw from a growing number of information sources now make it impossible for a school library to stand alone. School administrators, teachers, and librarians recognize the need to offer the elementary or secondary school student and teacher more than the resources of one school library and media center. The State's 44 Boards of Cooperative Educational Services (BOCES) offer some library services to the participating schools in their regions. As yet, however, school libraries in New York have not developed the comprehensive systems that will make it possible for them to participate effectively in broader-scale resource sharing involving all types of libraries.

In 1978, the State Legislature authorized the creation of pilot school library systems to test methods for resource sharing. Each of 12 pilot projects will receive in 1982 a State grant of up to $65,000. Nonpublic school libraries are eligible to participate in the systems.

During their first 18 months of operation, the new school library systems demonstrated, as public libraries had earlier, the effectiveness of the systems concept. In that period, the school library systems have: shared 13,000 books and other materials through interlibrary loan; tested such new services as a telephone "Homework Hotline"; and developed union catalogs of materials. The programs do not provide for any reimbursement to the schools that supply materials and services to other schools. Collection development, a basic goal of the public library and reference and research library systems, has barely begun within the school library systems. However, services offered by systems include:

- *Assessment of strengths or weaknesses of collections;*
- *Establishment of delivery systems;*
- *In-service workshops in continuing education opportunities;*
- *Development of locator files for books and audiovisual materials;*
- *Development and adoption of interlibrary loan policies;*
- *Coordination of public awareness activities to gain understanding and support for school libraries and library systems;*
- *Establishment of library media information centers of catalogs, evaluation tools, and information on topics pertinent to school libraries;*
- *Preparation and dissemination of bibliographies and reading lists;*
- *Initiation of cooperative collection development;*
- *Initiation of linkages with public library systems and the 3R's.*

Pilot systems are located in Rochester, Syracuse, Yonkers, New York City, and in 8 BOCES regions. Since the awarding of grants for these pilot projects was a competitive process, all regions undertook initial planning for school library systems and regional networks for intersystem cooperation. Even without additional funds, most unsuccessful applicants have continued efforts to initiate cooperative planning and resource sharing.

CHARACTERISTICS OF PILOT SCHOOL LIBRARY SYSTEMS

Members. All public school districts and nonpublic schools located within the BOCES or city school district of a designated school library system pilot project are eligible for membership in the pilot project, provided they meet certain criteria established in regulations of the Commissioner of Education. (Approximately 4 percent of the eligible nonpublic schools participate in the 12 school library system pilot projects.) The criteria include assignment of one certified school librarian to serve as coordinator of services

between school libraries of the district and the school library system pilot project; a requirement that each participating school district or school permit interlibrary loan of books and other library materials to other members of the school library system pilot projects; a stipulation that each participant have a plan of service; and strict maintenance of effort requirements for local school library program support.

Trustees. The pilot projects do not elect trustees as such. The BOCES or the Board of Education that operates the pilot project serves as the governing board of the school library system pilot project. A standing advisory council is appointed to advise on matters of policy affecting the development, improvement, and governance of the school library system pilot projects.

Plans of Service. The plan of service for a school library system pilot project must be approved by the Commissioner of Education prior to State funding. Plans of service must include the composition and basis for selection of an advisory council to ensure that it is broadly representative; the means to be established for locating library materials within a school library; procedures for interlibrary loan; the consultant services that will be offered to the school libraries; the means by which the school library system pilot will encourage the participation of school districts and nonpublic schools; the means by which the pilot project will ensure compatibility of its computerized and other technical operations with those of other library systems of the State; identification of special client group needs, and the means by which the school library system pilot projects will ensure continuing needs assessment of program development. The school district and public library system plans of service are very similar, both requiring interlibrary loan procedures, methods of communication between members, the development of the union catalog, and consideration of delivery systems. No plan of service was approved unless there was evidence that the plan was developed collaboratively with administrators and librarians of the schools in the area to be served and was compatible with the approved plans of service of other library systems in the region.

PROBLEMS OF SCHOOL LIBRARIES AND SCHOOL LIBRARY SYSTEMS

1. *Insufficient School Library Media Specialists.* Decreases in funding have caused reductions in school library staff. Many elementary schools and some secondary schools do not have professional library personnel.

2. *Lack of Full-time District Level Coordinators-Supervisors.* The lack of full-time district level library media coordinators-supervisors is negatively affecting school library programs. District level coordination is essential to the maintenance of strong school library programs. For example, the implementation of a sequential library skills program depends on the coordination of effort at several educational levels. Efficient networking and resource sharing depend upon district level coordination.

3. *Uneven and Inadequate Funding.* Due in part to the lack of local resources, inadequate funding, and differences between districts in local spending priorities, there exists a serious inequity in the quality of school library services provided elementary and secondary school students among the districts of New York State. Contingency budgets pose a particular problem.

4. *System Funding.* Experience with the pilot school library systems indicates the need for a better basis of allocating funds to school library systems. A flat grant is not responsive to varying conditions and needs (e.g., one system serves nine school districts with 25,695 students, while another serves 34 school districts with 931,986 students, each incurring different costs and maintaining different levels of operation, yet each is allocated exactly the same amount of money). Successful school library systems require that basic library needs are met at the building and district level, a condition that is affected by contingency budgets and staffing.

5. *Resource Sharing Mechanisms.* To serve effectively, school libraries increasingly will need to participate in resource sharing. Resource sharing depends on: a financial investment to create union catalogs and locator files; communication and delivery systems; and coordinated planning to ensure cost-effective operation and timely responses. Some experienced librarians believe school libraries could better participate in resource sharing by becoming members of existing systems, instead of forming separate school library systems.

6. *Nonpublic School Involvement in Resource Sharing.* Some 330,000 of the State's 1.4 million elementary school children (23 percent) and 247,000 of the 1.5 million secondary school children (16 percent) attend nonpublic schools. Compulsory attendance laws require that nonpublic schools offer instruction that is substantially equivalent to that offered in the public schools. Provisions of the Blaine Amendment to the State Constitution prohibit direct aid to nonpublic schools. However, pupils attending nonpublic schools are entitled to transportation, health services, and textbooks. Library resources vary widely in the nonpublic schools, as does the degree of participation in the 12 school library system pilot projects. In some nonpublic schools, frequent turnover of librarians and principals has resulted in uncertainty in continued participation in resource sharing.

7. *School Use and Coordination of Computer Technology.* There is unevenness in the degree to which school libraries are using currently available technology. In many schools, the school library is the center of instructional computer

use. The schools participating in the Rochester regional pilot project are using existing time-shared terminals in the high schools to ascertain where needed materials may be located.

Sophisticated computer technology is available through the BOCES New York State School Computer Services System. However, BOCES boards are prohibited by law from entering into cooperative arrangements for use of their equipment and programs by other agencies, such as public and academic libraries.

8. *Inadequate Standards.* Statewide standards are essential for the operation and development of a quality school library program. Current Commissioner's Regulations are minimal, limited in scope, and do not represent national standards. The broad approach of national standards (*Media Programs: District and School,* ALA-AECT, 1975) includes such vital, but often overlooked, functions as planning, budgeting, production, and evaluation. These standards offer a sound basis for a thorough review and revision of State regulation and standards. Commissioner's Regulations, last revised in 1973, do not speak to these broad program areas nor do they recognize such recent technological developments as the microcomputer.

I-4. Academic Library Systems

The 64 units constituting the State University of New York (SUNY) include institutions that range from the four university centers, located in Albany, Binghamton, Buffalo, and Stony Brook, to specialized two-year institutions and community colleges with specific vocational programs, such as the Agricultural and Technical College at Farmingdale. In addition to the four university centers, the system includes 12 university colleges of arts and sciences, two health science centers, six agricultural and technical colleges, 10 specialized and statutory colleges, and 30 community colleges. SUNY library holdings represent 23 percent of the total academic holdings in the State. The SUNY Office for Library Services coordinates and collects statistics and provides leadership for the campus libraries.

Under the direction of the SUNY Office for Library Services, with participation of the library directors on the SUNY Council of Head Librarians, and through the activities of the State University of New York Librarians Association (SUNYLA), the institutions cooperate in many ways. The various SUNY units participate in an interinstitutional interlibrary loan program, and 30 are participants of the OCLC network. The university centers and four-year institutions appear to be in closer communication with each other than they are with the two-year colleges or than the two-year colleges are with each other. To varying degrees the SUNY units:

- *Participate in common hardware purchases;*
- *Provide each others' students and the public access to their libraries;*
- *Engage in cooperative acquisitions and shared book contracts;*
- *Share common cataloging through OCLC;*
- *Share resources (SUNY units processed approximately 200,000 interlibrary loans in 1980).*

The City University of New York (CUNY) is comprised of 19 colleges and one affiliated medical school. The CUNY libraries have developed patterns of interaction through the Library Association of the City University of New York (LACUNY) and through participation in the METRO 3R's Council. The CUNY libraries, through METRO, have entered into agreements with nonpublic academic libraries in their area. Most of this cooperative activity is informal at present. The most formalized cooperative venture is the CUNY Film Consortium, which purchases audiovisual materials for the various CUNY libraries.

A CUNY Chancellor's Task Force on Libraries has recently concluded a year and a half of deliberations and recommended:

- *Creation of a CUNY library system, building on the present informal system;*
- *Establishment of a CUNY Office of Cooperative Library Services (to develop an automated union catalog, establish an efficient interlibrary loan delivery system, establish a coordinated collection development plan, and study other aspects of library service);*
- *Parity of library support between CUNY and SUNY colleges by 1982/83.*

I-5. New York State Interlibrary Loan (NYSILL)

The most efficient way to provide quality library service to all residents of the State is through an integrated network of libraries. The New York State Interlibrary Loan (NYSILL) program established in 1967 was the State's first major service that linked libraries of all types.

When a library cannot fill a user's request for a book or another item from its own collection, the staff relays the request to the regional library system. About 80 percent of the estimated 2 million interlibrary loans a year are filled within the regions. When libraries within a region cannot fill a request, the staff sends it from one of 56 telecommunication transmission sites to the State Library. The State Library, which is the central referral center for NYSILL, fills the request from its own collection or, when necessary, refers it to one of 12 contracting libraries. State funds reimburse the contract libraries for each request they handle. In 1980-81, NYSILL processed 146,997 interloan requests.

In addition to NYSILL and the SUNY networks, four other networks also supply interlibrary loan services to the libraries of New York State:

MILCS. The Metropolitan Inter-Library Cooperation System is based on the bibliographic on-line cataloging system known as ONLICATS. The members are Brooklyn Public Library, Long

Island Library Resources Council, Metro, Nassau County Library System, New York Public Library (the Branch Libraries but not the Research Libraries), Queens Borough Public Library, Suffolk County Community College, Suffolk Cooperative Library System, and Westchester Library System. The MILCS system is primarily an on-line catalog system that is now being used for interlibrary referral information. Communication is direct, usually by mail or TWX, and there are partial delivery services in operation.

OCLC. On Line Computer Library Center is based on an on-line system located in Ohio. Network members may use the interlibrary loan subsystem of the data base to request material located in other member libraries. This system is available to 213 member libraries in New York State (2,716 libraries nationally) through SUNY/OCLC and FAUL (Five Associated University Libraries). The majority (138) of the New York State members are academic libraries. Sixteen of the public library systems and six of the pilot school library systems are members.

Communication is point-to-point, with reimbursement (if any is required) arranged between libraries. OCLC charges $1.16 per request (routed to up to five libraries) for interloan communications. In 1980-81, the OCLC network in New York processed 44,892 interlibrary loan requests.

RLIN. The Research Libraries Information Network is the computerized bibliographic arm of the Research Libraries Group, Inc., composed of a group of about 20 major research libraries across the country. Five New York State libraries are RLIN members: the New York Public Library and the libraries of Cornell, Columbia, SUNY-Binghamton, and New York University.

RMLP. The Regional Medical Library Program for Region II is administered by the New York Academy of Medicine under a contract with the National Library of Medicine. The region consists of New York and New Jersey. Seven Health Area Resource Libraries (Stony Brook, Brooklyn, Westchester, Albany, Syracuse, Rochester, and Buffalo) serve their respective areas, with New York City served by The New York Academy. Mode of operation is hierarchical (basic unit/health area library/New York Academy/National Library of Medicine); requests submitted through NYSILL interface with the RMLP through the New York Academy of Medicine. In 1978/79, RMLP libraries handled 160,000 interlibrary loan requests.

PROBLEMS OF INTERLIBRARY LOAN AND NETWORKS

1. *The number of networks.* The number of networks operating in New York State offer libraries a diversity of services, as well as the opportunity to make cost-effective choices appropriate to local requirements. This situation also makes coordination of services and comprehensive planning difficult, and the lack of effective interconnection of the various networks means that all libraries in the State may not have equal access to resource-sharing mechanisms. In addition, institutional decisions to change networks can greatly affect the availability of resources to other members of the network. Each of the networks has its own governance structure. Aside from the general advisory bodies (such as the Regents Advisory Council) of the State Library, conferences of system directors, and occasional meetings of lenders (contract libraries) and users, mechanisms for continuing policy advice and guidance on statewide interloan planning and NYSILL is lacking.

2. *Different Methods of Operation.* The basic design of NYSILL was developed before electronic locator files or point-to-point communications were available. The structure of NYSILL encourages the use of local and regional resources first, exhausts public resources before going to private (reimbursed) sources, and provides some distribution of lending or work load between various levels of the network (local/regional/state/contract). Processing requests in a structured order increases the number of stopping points, introducing delays in the delivery of services. By contrast, the availability of known locations in electronic data bases offers the opportunity for more economical and faster point-to-point access.

3. *Lack of Performance Standards and Interloan Agreement.* There are no standards for interlibrary loan network performance, and the networks operating in New York State vary greatly in such factors as elapsed time (between initiation of request at a local library and receipt of material) and request fulfillment rate. The NYSILL computer system generates important statistical data on the use and performance of the network. However, interlibrary loan statistics in the nine regions are generally incomplete.

Although there is a NYSILL manual governing the operation of NYSILL, there is no statewide interlibrary loan code.

4. *Reimbursement.* Resource sharing depends to a great extent upon interlibrary loan. Not all lenders are reimbursed.

State funding supports only the operation of the NYSILL network (including reimbursement for the 12 contract libraries). As part of the NYSILL program, three libraries in western New York (Buffalo & Erie County Public Library, SUNY Buffalo, and University of Rochester) are reimbursed by NYSILL for regional interloans. (The Rochester Public Library also provides regional interlibrary loan service and is reimbursed by the Rochester Regional Research Library Council.) Major resource libraries (and net lenders) in other regions are not similarly reimbursed.

The advent of electronic locator systems has severely increased interloan demand on other libraries—both from within and outside of New

York State—overburdening these libraries at a time when fiscal pressures are reducing staff resources. An increased use of point-to-point lending may introduce many more net lenders.

Some networks (such as the Regional Medical Library Program) and some libraries (including both public and academic) have introduced interloan fees. Some have proposed fees for "fast-track" interlibrary loan service.

5. *Limited Range of Services and Material.* Interloan networks have emphasized location and delivery of print materials; access to nonprint materials (such as films, records, and information data bases) is inadequate. There is no provision for assistance with especially difficult reference questions.

Physical delivery of materials (generally by fourth-class mail) is often subject to delay and is increasingly expensive. Interlibrary loan is subject to delays in both communication of request and delivery of materials. New technology offers opportunities for reduced costs, expanded services (such as electronic mail), and faster transmission of interloan requests.

6. *Incomplete Locator Files.* Present estimates indicate that over 16 million locations for materials owned by New York State libraries are in machine-readable format. Much older material, however, is not represented in these files, and information about journal holdings is incomplete, generally out-of-date, and decentralized. The cost of converting such retrospective data has been estimated to be as high as $71 million. Additionally, storage of redundant bibliographic data in various locations will be an increasingly costly burden.

7. *State Assistance for Technology.* Automated bibliographic and circulation systems improve accessibility for resource sharing within a system, across system lines, and through the State Library. Initial costs for such automated systems are high, but they constrain personnel cost increases and improve services to users.

8. *Lack of Statewide Coordinated Collection Development Policy.* The NYSILL network has fostered limited coordination of collection development through consultation and periodic review of subject responsibilities of the contract libraries. Joint planning for collection development is a major program objective of the RLIN network. The Regional Medical Library Program (through the imaginative use of electronic locator files and voluntary agreements among participants in its RECBIR program—Regional Coordination of Biomedical Information Resource) has actively sought to insure the availability of health sciences information resources. The Coordinated Collection Development program authorized by 1981 legislation requires coordinated planning among academic libraries in 3R systems. There is no statewide plan for insuring last-copy availability or coordinated collection development.

I-6. Regional Networks for Intersystem Cooperation

The 1978 legislation, which led to the creation of the 12 new school library systems, also authorized two regional networks for intersystem cooperation. These are testing the multi-type library network concept. Each of the two regional networks includes one reference and research system, public library systems, and three or more of the school library system pilot projects. The areas of the regional networks are conterminous with their 3R systems.

Groups of libraries throughout the State submitted proposals for the two pilot project grants,, A panel of reviewers selected RARE, a network in the Rochester area that includes four school library systems, and INTERSHARE, a New York City network that includes three school library systems. To fund the pilot projects, the State initially awarded grants of $312,000 a year for INTERSHARE and its three component school library systems and $288,000 for RARE and its four component school library systems. In 1982, a total of $1.1 million will be available for the two pilot systems.

INTERSHARE is operating "Library-on-Call" (an evening and weekend phone reference service), a delivery service among libraries, and a backup reference service, will later include access to computerized data banks.

Through RARE, intersystem interlibrary loan has been extended to school library systems. Public libraries, 3R's, and school libraries are sharing resources with the help of a new intersystem delivery system. RARE produced a directory of all libraries in the area with emphasis on school library resources. The 3R's continuing education programs now include school libraries. The public library system is distributing to school libraries book selection lists for library staff and bookmarks and bibliographies for library users.

Each regional network pilot has an interim coordinating council representing the participating library systems and school library pilot projects and is administered by a chartered system. The interim coordinating council develops a plan of service that is endorsed by all participating systems. Plans of service cover: coordination of policy development among participating systems; resource sharing; coordination and compatibility of computerized data bases and technology; coordination of union catalogs; coordination of budgetary matters, and coordination and improvement of services and access.

PROBLEMS OF REGIONAL SYSTEMS AND NETWORKS

1. *Future Development.* There is an increasing need for, and interest in, resource sharing across type-of-library boundaries. Given the large number of libraries in New York State and the diversity within that number, the capabilities of current technology to extend service to larger geographic areas and greater numbers of users, and the need to reduce administrative costs,

there are strong arguments for restructuring the present pattern of library systems as regional multi-type systems. National trends seem to indicate the acceptance of a multi-type system concept. However, experiments with multi-type systems in some other states have encountered difficulty in coordination and operation, even with a substantially smaller number of libraries and fewer library resources.

2. *Funding.* Appropriations for reference and research library resources systems and for regional networks for intersystem cooperation indicate a legislative commitment to State incentives for broader-scale resource sharing. Flat grants for system operation (as provided to reference and research library resources systems) do not address varying conditions and needs that arise when a program moves beyond establishing core staff. Regents proposals in 1978 for allocating major sums of State aid regionally for such resource-sharing programs as data base development, delivery, and reimbursement of loans, and for acquisition of new resources, were modified to establish the pilot networks for intersystem cooperation. Funding has not been sufficient to test the programs they must sustain.

J. FUNDING

The great volume and variety of New York State's library resources should not disguise the desperate condition in which many libraries now find themselves. The New York City metropolitan area contains one of the four largest concentrations of library resources in the world. Yet some branches of the Brooklyn, New York, and Queens Borough public libraries have only enough funds to offer service 16 hours a week. Cuts in New York City's school and college budgets have led to drastic reductions in library support. Upstate New York also has impressive library collections and services. There, too, many schools and communities have the barest of library resources.

New York residents of all ages, economic levels, and degrees of learning depend on libraries. They depend on them for education, for the information essential to operate businesses, government agencies, and professional services, and for resources to help them in their personal lives. Hundreds of thousands of residents, however, receive minimal library services because of limitations of materials, hours of service, or staffing.

Although libraries have traditionally offered their services at no charge to users, new services, such as computer data base searches, are expensive to provide without reimbursement. Static budgets are forcing libraries to spend less on materials as rising costs in other areas absorb larger percentages of their budgets.

J-1. State Aid to Public Library Systems

At the present time, State aid to cooperative and federated public library systems may be divided into three major parts: that which supports *system headquarters operation and services* to member libraries; that which passes through the system to the *central library;* and *local sponsor incentive aid,* which encourages both the system and its member libraries to maintain and increase the level of local support.

The portion of State aid that goes to the system for headquarters and systemwide service expenses is based on a multifactor formula that has not changed substantially since 1950. At that time each of the factors had a stimulating purpose. The per capita, square mileage, and county grant factors were intended to stimulate the formation of systems of sufficient size to operate economically and also to ensure that library systems covered the entire State. The present configuration of public library systems was completed in the early 1960s (including all 62 counties). Thus, all areas of the State became reimbursable under the State aid formula. Today, a number of factors no longer can be considered developmental incentives.

STATE AID FORMULA FACTORS

Factor	1981-82 Appropriation (in millions)	Percentage
Per capita payments	$10.6	29
Payments based on square miles served	2.0	5
Payments based on number of counties served	1.5	4
Reimbursement for book expenditures	8.1	22
Development of central library book collection	1.1	3
Central library development aid	3.5	10
Coordinated Outreach	.6	2
Local sponsor incentive aid	3.9	11
Earmarked aid for the Research Libraries, NYPL, Brooklyn, Buffalo, Nassau	5.1	14
	$36.4	100%

The book expenditure reimbursement portion of public library system aid may still be considered an incentive, since it encourages continuing local appropriations and expenditures for material. However, the factor on which this aid is based ($.44 per capita) is far less than the average per capita expenditure for library material in most library systems. Hence, the aid is more a supplement to local expenditure than an incentive.

The two factors for central library aid are also now less of an incentive than they were in 1958, when it was important for central libraries to accept the responsibility for sharing resources systemwide. This responsibility is now well established. Currently, all

central libraries receive the same amount ($48,750 in 1981, $50,000 in 1982) for development of their collections (central library book aid). A per capita grant (central library development aid) produces varying amounts of aid for central libraries and cannot be changed by action or performance of the library or of the system.

Among the several library aid factors only the local sponsor incentive aid portion of the total public library system State aid package remains basically stimulating. However, a ceiling on local sponsor incentive aid, instituted in 1978 and modified in 1981, makes this portion of the State aid package static and less stimulating.

Application of these several aid factors in 1981 produced $36.4 million for the public library systems, their central libraries, and member libraries. This amount is a relatively small proportion (15 percent) of the total public library operating expenditure of $242 million. Moreover, only the local sponsor incentive aid (representing 11 percent of the State aid) remains a truly stimulative force. Some 89 percent of the State aid funds are distributed on the basis of factors that have little or no stimulating effect: no action of local libraries or systems affects the distribution of these funds.

Looking at the distribution of State aid funds to the 22 library systems in another way, great variation per capita payment is apparent. Moreover, as shown in the table below, there is no correlation between State aid per capita and local support per capita. For example, local tax support per capita ranges from $2.92 to $18.44, while state aid ranges from $1.31 to $3.44.

J-2. State Aid for Local Library Operations

Local sponsor incentive aid, established as a means of directing State aid funds through systems to local libraries, currently constitutes 11 percent of the State aid. State law provides that 40 percent of these funds be used for systemwide services; that 40 percent be paid to local libraries; and that 20 percent be allocated in accordance with a plan approved by the Commissioner of Education. Local sponsor incentive aid is not the only State aid cash going to local libraries for operation. In the 19 nonconsolidated library systems, 1980 local sponsor incentive aid payments to member libraries totaled $1 million. Additional grants, totalling $5.2 million, were made by these systems to their member libraries, mostly from State aid funds. The three consolidated systems

PUBLIC LIBRARY AND SYSTEM SUPPORT DATA, 1980

(In Thousands)

SYSTEM	LOCAL TAX FUNDS	PER CAPITA[1]	STATE AID[2]	PER CAPITA[1]	FED AID[3]	PER CAPITA[1]	TOTAL PUBLIC STATE, FED
BROOKLYN	$ 14,042	$ 5.40	$ 3,399	$1.31	$1,372	$.53	$ 18,813
BUFFALO & ERIE	10,039	9.02	1,549	1.39	313	.28	11,901
CHAUTAUQUA-CATTARAUGUS	1,120	4.89	515	2.25	158	.69	1,794
CHEMUNG-SOUTHERN TIER	1,516	5.33	708	2.49	66	.23	2,290
CLINTON-ESSEX-FRANKLIN	516	3.40	522	3.44	97	.64	1,135
FINGER LAKES	932	3.30	650	2.30	260	.92	1,841
FOUR COUNTY	2,194	5.94	781	2.12	36	.10	3,012
MID-HUDSON	1,861	3.77	928	1.88	85	.17	2,874
MID-YORK	1,203	2.98	746	1.85	117	.29	2,065
MOHAWK VALLEY	1,731	5.88	612	2.08	107	.36	2,450
NASSAU	26,341	18.44	1,999	1.40	173	.12	28,514
NEW YORK							
BRANCH LIBRARIES	22,967	6.95	4,875	1.47	1,076	.33	28,917
RESEARCH LIBRARIES	2,468	.31	4,493	.57	2,119	.27	9,080
NIOGA	2,204	6.64	617	1.86	133	.40	2,954
NORTH COUNTRY	1,346	4.14	907	2.79	51	.16	2,304
ONONDAGA	3,981	8.27	704	1.46	86	.18	4,771
PIONEER	7,742	7.96	1,761	1.81	126	.13	9,629
QUEENS BOROUGH	17,219	8.67	2,712	1.36	527	.27	20,458
RAMAPO CATSKILL	5,860	10.91	897	1.67	143	.27	6,901
SOUTHERN ADIRONDACK	770	3.37	609	2.66	51	.22	1,430
SUFFOLK	17,829	14.83	1,580	1.31	138	.12	19,547
UPPER HUDSON	3,305	7.52	834	1.90	132	.30	4,270
WESTCHESTER	14,957	16.72	1,298	1.45	135	.15	16,390
	$162,144	**$ 8.83**	**$33,696**	**$1.84**	**$7,501**	**$.41**	**$203,341**

[1] Computations based upon 1970 Census as amended in accordance with Ed. Law 272.1. (b).
[2] Includes statutory aid under Ed. Law 273, special aid from Supplemental Budget and nongeneric aid; such as New York State Council on the Arts grants.
[3] Includes prior and current year L.S.C.A. grant funds, NEH, NEA, Appalachian, and other Federal grants.

received $15.5 million for local library operations from State funds.

J-3. State Aid for Reference and Research Library Resources Systems

The regional 3R's program was inaugurated in 1966 by a legislative appropriation. Over the next decade, State aid to the 3R systems was provided through service contracts with the State Education Department. Chapter 787 of the *Laws of 1978* provided both statutory recognition and funding for the nine systems.

In fulfillment of their charge to provide access to research materials without regard to source, the 3R systems have assumed responsibility for regional multi-type library resource sharing. In 1980, State support for these systems was $120,000 each, or $1.08 million statewide (less a 2 percent reduction mandated by the Governor). Cooperative programs and sale of services generated significant additional sums in each system. State support in 1982 will be $155,000 per system.

J-4. Support for School Libraries

New York public school expenditures were estimated in 1979-80 to total $9.3 billion, of which $3.6 billion (38.5 percent) were State funds. Federal aid was $.6 billion. The total public school expenditure for library services in 1979 was $105.7 million and the estimated "State share" for school libraries was approximately $40.7 million.

It is impossible to track the flow of State aid dollars to school library support. No State funds are allocated directly for school libraries, except those authorized for school library system pilot projects, and neither State nor Federal funds are available for other system development activities.

Federal funds are provided, however, through the Elementary and Secondary Education Act (ESEA), and play a significant role in the development and strengthening of school library media centers. Between 1965 and 1976, ESEA Title II provided $68 million for school library resources in New York State. In 1976, ESEA was amended and became ESEA Title IV-B. The new law allows the local school district to spend these funds in several ways. From 1976 to 1979, library resources, textbooks, instructional materials and equipment for specific academic areas, and programs for guidance, counseling, and testing were all eligible for ESEA IV-B funds. In 1976-1977, 34 percent of the money (or $3.7 million) available under this program was spent on school library resources. In 1978-79, the percent used for library materials increased to 50.4 percent (or $6.4 million). This reflected the cancellation of testing and guidance programs from funding eligibility. However, since the expenditure of ESEA-IV B funds is a matter of local option, there are differences from district to district in the amount spent on library resources. The future of ESEA funds is uncertain in view of the Federal government's move to block grants.

School libraries, like public libraries, rely mainly on local funds. In the majority of school districts, residents vote annually for the school budget. Education law provides that when a budget is defeated, boards of education may levy taxes for certain contingent expenses, such as teachers' salaries, heat, and light. An opinion of the State Education Department Office of Counsel deemed that the acquisition of library books may not be considered an ordinary contingent expenditure. Recently, an increasing number of school budgets have been defeated. In 1980-81, budgets were defeated in 104 school districts (in 34 of these, the acquisition of library books was approved at a subsequent election). These defeats meant that one out of every 10 school districts acquired no new library books for that year.

The New York Library Association has proposed legislation that would specifically authorize the acquisition of library materials as ordinary contingency expenditures. However, the State Education Department has proposed legislation for several years that would apply "home rule" to contingency budget decisions, allowing school boards to decide whether to include such nonmandated activities as transportation, interscholastic sports, lunch programs, or new library books in contingency budgets.

J-5. Support for Academic Libraries

In 1980, total expenditures for New York academic libraries were estimated at $153.3 million. It is not possible to trace accurately local, State, and Federal funds that support academic libraries. However, it is estimated that State support for library services at publicly supported colleges and universities in 1980-81 was $35.3 million (SUNY $28 million, CUNY $7.3 million).

Ninety of some 137 independent academic institutions receive State assistance (Bundy Aid), based on the number of earned degrees conferred. In 1981-82, $93.3 million was appropriated for this purpose. Academic libraries may receive some of these funds, but there is no way to determine what proportion. Assuming libraries receive a share of Bundy Aid equivalent to their share of overall institutional budgets (4.6 percent), then the library "portion" of Bundy aid would be approximately $4 million.

Also, institutions in New York State received Basic Grants under Title II A of the Higher Education Act of 1965 totaling $779,751 in 1979-80. These grants ranged from a low of $1,500 to a maximum of $3,963.

K. THE STATE LIBRARY

The New York State Library is both a great research library and the library development agency for the State. Created in 1818, the library has grown

and acquired a collection of 4.5 million books, periodicals, reports, and manuscripts. It is the country's only state library that qualifies for membership in the prestigious Association of Research Libraries.

The State Library's staff of some 200 has two major responsibilities. The staff provides information, access to research sources, and loan service to the Legislature and staff of State government. It also provides statewide services in support of local and regional library systems.

The State Library's resources and services benefit everyone in the State, directly and indirectly. The State's business community, members of the legal and medical professions, and users with similar special needs rely on the State Library as a major public research library. Library users throughout the State gain access to materials from other libraries through the interlibrary loan network—NYSILL—for which the State Library serves as switching station and main resource. Blind and visually handicapped persons in 55 upstate counties borrow talking books and magazines from the State Library.

The State Library operates with funds appropriated by the State Legislature, supplemented with federal grants. It administers State aid programs and Federal grant programs for all types of libraries.

PROBLEMS OF THE STATE LIBRARY

1. *Limited Resources.* Although New York State is frequently cited as having a model comprehensive state library agency, fiscal constraints and staffing reductions during the past decade have seriously reduced the capacity of the State Library to carry out a comprehensive service and development program. Levels of staffing have decreased by 28 percent in the last 10 years, and there is no longer sufficient staff to carry out properly all of the programs assigned to the Library. Key questions are: Should the State continue to seek to develop a comprehensive state library agency? If not, what programs and services should be reduced or eliminated?

2. *Library Development.* New York State's library development program in the period from the 1950s through the early 1970s was preeminent in the nation and a model for other states. Staff reductions and an increasing dependence upon Federal funds have weakened the program and impaired its capacity to carry out statutory and other responsibilities. Responsibilities assigned by the Legislature and programs required to meet new needs are undertaken without sufficient personnel or other resources to conduct them. The library systems program was accomplished through participatory, collaborative means, and made possible by the quality and number of Library Development Division staff. The size of the present development staff is insufficient to maintain this style of development program. However, in a period of limited fiscal resources, expanded State coordination, planning, evaluation, and assistance to libraries and systems is clearly required, and there is considerable support for granting stronger regulatory authority to carry out these responsibilities effectively.

3. *Automation.* Decisions on data base development, circulation-control systems, and other uses of technology will affect library operating costs and services over a long period of time. Substantial investment of Federal, State, local, and independent sector dollars is now being made in automation. The presence of several national bibliographic systems in New York State is sometimes viewed as competitive and disruptive. Libraries and library systems sometimes lack technical capacity to evaluate alternatives and to make cost-effective decisions. A "free market" approach may exclude some libraries and their users from the benefits of technology. The State Library has limited resources for coordinating, assisting, and monitoring decisions on technology.

4. *Research and Evaluation.* Library development in the 1980s will require enhanced management information systems for timely and sound decision making. State Education Department research support and the use of outside evaluation was an important factor in successful early planning and evaluation of the public library, reference and research, and NYSILL systems. Since 1974, resources for such studies have not been available. Limited resources for libraries and the anticipated continuation of fiscal restraint make these management tools even more critical today.

5. *Reduced Federal Support.* Federal funds available in New York State for libraries are diminishing. The President's budget would further reduce these resources. LCSA, ESEA, and HEA funds have been used effectively to develop user-oriented services and resources. LCSA grants support innovation and program development. (Unlike State aid, which is formula based, LCSA funds are granted for specific projects.) LCSA funds support 39 positions in the State Library, including seven of the 15 professional posts in library development. Additionally, ESEA funds support seven of the nine professional positions in the Bureau of School Libraries.

September 30, 1981